

**DEPARTMENT OF CORPORATIONS****DEPARTMENT OF CORPORATIONS  
CONTACT / COMPLAINT FORM**

Before filling out this form, please take the time to read these guidelines. They will help you to understand the Department of Corporations' regulatory responsibilities, and how we provide assistance.

If you have questions about this form, please call our toll-free Client Resource Center:

**1-866-ASK-CORP (1-866-275-2677)**

**HOW THE DEPARTMENT OF CORPORATIONS CAN HELP:**

We evaluate and review complaints for alleged violations of the laws we administer and take appropriate action as authorized under the law.

In general, the Department regulates:

- Securities professionals, such as securities brokers and agents, investment advisers, and financial planners;
- Finance lenders and brokers offering personal or commercial loans;
- Bill payers, check sellers, and proraters, including consumer credit counselors;
- Mortgage lenders and servicers; and
- Escrow agents.

The Department also regulates certain business or investment transactions, including:

- The offer and sale of certain securities and investments, such as stocks, bonds, notes, limited partnership interests or other types of investment vehicles or investment contracts;
- The offer and sale of franchises; and
- Off-exchange commodities transactions.

When you submit a complaint to the Department of Corporations, we review it to determine whether it is a matter over which we have jurisdiction. If we are not the proper regulatory authority, we will attempt to direct you to the correct agency.

However, the Department cannot give you legal or financial advice, we cannot act as your private attorney, and we cannot act as a court of law. Do not rely upon the Department to order that money be refunded to you or for your contract to be cancelled, because the Department may not have the authority to obtain such relief for you under

the law. **If your complaint involves a sum of money you need to recover or a contract you need cancelled, you should seek the assistance of a private attorney.**

You should always file your complaint with the Department, regardless of whether you are resolving your dispute through another forum. The Department relies upon complaints received from investors, borrowers and consumers to ensure that our licensees are complying with the licensing laws, and to locate and stop investment fraud.

The Department of Corporations investigations are generally confidential. However, in some cases, the Department may request the complaint be resolved directly between the individual or organization licensed by the Department and you. In such cases, unless you direct us otherwise, your complaint will be sent to the Department's licensee.

#### **HOW YOU CAN HELP US:**

- Summarize your complaint. Make sure your complaint tells us **WHAT** happened, **WHO** was involved, and **WHEN** and **WHERE** the event took place. Please provide any other relevant information that may assist us in understanding and resolving your complaint.
- Provide us with copies of all documents supporting your complaint. (Please **do not** send originals; we cannot be responsible for their safekeeping.)
- Type or print clearly in ink.
- Upon completion of your complaint, mail the form and your supporting documents to:

Department of Corporations  
Consumer Services Office  
1515 K Street, Suite 200  
Sacramento, CA 95814

## COMPLAINT

1. Your Information

Your full name (print)

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Your residence address (Street, City, State and Zip Code) County

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Your business address (Street, City, State and Zip Code) County

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Business phone number: Residence phone number:

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E-mail address:

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Telephone number where we may reach you during the day:

2. Information on the individual or organization about which you have a complaint

Full Name of business, company, firm, or person:

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Street address of business (Room #, Suite #, or Apt. #, if any)

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City	State	Zip Code	County	Business Phone #
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Full name of salesperson, agent or other representative (if applicable)

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Employed By:

3. If your complaint involves a licensee, may we provide the licensee your complaint?

( ) Yes ( ) No

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4. Have you already directly contacted the business, firm or individuals regarding your complaint?

( ) Yes ( ) No

If yes, include the names of the persons contacted and the dates you contacted them.

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What was the result of the contact (if any)?

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5. Have you filed this complaint with another regulatory, law enforcement or consumer protection agency?

( ) Yes ( ) No

If yes, provide the names and addresses of the agencies contacted and the names and telephone numbers of the persons handling the matter.

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6. Have you filed a lawsuit or arbitration regarding this complaint?

( ) Lawsuit ( ) Arbitration ( ) Neither

If you filed a lawsuit, provide the case number, case name, and address (or county) of the court:

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7. **Please describe your complaint** (Remember to answer the questions of “who,” “what,” “where” and “when.”) Include the full names, addresses, and telephone numbers of any witnesses present during the transactions. **If necessary, attach extra pages.**

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8. What do you believe would be a fair resolution to this matter?

9. How did you find out about the Department?

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10. Your age (please check one):                      Under 50      (    )  
   50 – 64      (    )  
   Over 65      (    )

11. Attach a copy of all written correspondence and documentation related to your complaint.

12. SIGNATURE

In filing this complaint, you are stating that the information you are providing is true and correct to the best of your knowledge and that the information may be used by the Department to further investigate your complaint.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Your Signature

**NOTICE REQUIRED BY THE INFORMATION PRACTICES ACT OF 1977**  
(Section 1798.17 of the California Civil Code)

(a) The Consumer Services Office of the California Department of Corporations requests the information requested by the forms attached to this notice.

(b) The Department's Deputy Commissioner and Chief Financial Officer, Office of Management and Budget, 1515 K Street, Suite 200, Sacramento, California 95814, (916) 445-5541, is responsible for the system of records and shall, upon request, inform an individual regarding the location of his or her records and the categories of any persons who use the information in those records.

(c) The records are maintained pursuant to one or more of the following statutes: Bucket Shop Law, Corporations Code section 29000 et seq.; California Commodity Law of 1990, Corporations Code section 29500 et seq.; California Finance Lenders Law, Financial Code section 22000 et seq.; California Residential Mortgage Lending Act, Financial Code section 50000 et seq.; Check Sellers, Bill Payers and Proraters Law, Financial Code section 12000 et seq.; Corporate Securities Law of 1968, Corporations Code section 25000 et seq.; Escrow Law, Financial Code section 17000 et seq.; Franchise Investment Law, Corporations Code section 31000 et seq.; Securities Depository Law, Financial Code section 30000 et seq.; and the California Right to Financial Privacy Act, Government Code section 7460 et seq.

(d) The submission of all items of information is voluntary.

(e) The Department does not contemplate taking official action against any person who fails to provide the requested information.

(f) The principal purposes within the Department for which the information is to be used is to determine whether (1) a license, qualification, registration, or other authority should be granted, denied, revoked, or limited in any way; (2) business entities or individuals licensed or regulated by the Department of Corporations are conducting themselves in accordance with the applicable laws; and/or (3) laws administered by the Department of Corporations are being or have been violated and whether administrative action, civil action, or referral to appropriate federal, state, or local law enforcement or regulatory agencies is appropriate.

(g) Any known or foreseeable disclosures of the information pursuant to subdivisions (e) or (f) of section 1798.24 of the Civil Code may include transfers to other federal, state, or local law enforcement or regulatory agencies and conveyances to persons who are subjects of the complaint. In addition, the Department may disclose to the public the existence of complaints against individuals or entities who are engaging in activities that fall under the Department's jurisdiction, but such disclosure would not include the personal information of the complainant.

(h) Subject to certain exceptions or exemptions, the Information Practices Act grants an individual a right of access to personal information concerning the requesting individual that is maintained by the Department of Corporations. However, section 6254 of the Government Code provides that records of complaints to or investigations conducted by the Department of Corporations are exempt from disclosure except as required by law. Additionally, section 1040 of the Evidence Code provides a privilege against disclosure of official information.